PTO/SB/08A (04-07)

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Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Cor	mplete if Known
Application Number	10/840,188
Filing Date	May 05, 2004
First Named Inventor	Mark Mathis
Art Unit	3731
Examiner Name	NGUYEN, TUAN VAN
Attorney Docket Number	10057-719 201

			U. S. PATEN	T DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (f known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/TN/	233	US- 5,800,519	09/01/1998	Sandock, David	
/TN/	234	^{US-} 6,241,757	06/05/2001	An et al.	·
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		FORE	IGN PATENT DOCL	JMENTS		
Examiner Cite Initials* No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages		
		Country Code ³ "Number ⁴ "Kind Code ³ (if known)	MM-DD-YYYY		Or Relevant Figures Appear	To.
/TN/	235	WO 03049648-A2	06/19/2003	Cardiac Dimensions, Inc.	·	
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Examiner Signature	/Tuan Nguyen/	Date Considered	10/26/2007

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁴Applicant is to place a check mark here if English language Translation is attached.

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Substitu	Salate to form 14407 To		Application Number	10/840,188	
INF	ORMATION	N DIS	SCLOSURE	Filing Date	May 05, 2004
STA	FORMATION DISCLOSURE ATEMENT BY APPLICAN (Use as many sheets as necessary)	PPLICANT	First Named Inventor	Mark Mathis	
	#	4		Art Unit	3731
	(Use as many sn	eets as i	10cossary)	Examiner Name	NGUYEN, TUAN VAN
Sheet	2	of	2	Attorney Docket Number	10057-719.201

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/TN/	237	MATHIS et al., U.S. Patent App. # 11/782,490 entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	
/TN/	238	Mathis et al., U.S. Patent App. # 11/782,508, entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	
/TN/	239	Mathis et al., U.S. Patent App. # 11/782,527 entitled "Device and method for modifying the shape of a body organ, " filed 7/24/2007.	

Examiner	/Tuan Nguyen/	Date Considered	10/26/2007
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Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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Complete If Known Substitute for form 1449/PTO Application Number 10/840,188 May 05, 2004 Filing Date INFORMATION DISCLOSURE First Named Inventor Mark Mathis STATEMENT BY APPLICANT Art Unit 3731 NGUYEN, TUAN VAN (Use as many sheets as necessary) Examiner Name 10057-719.201 Attorney Docket Number of 1 Sheet

			U. S. PATEN	F DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (F known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Unes, Where Relevant Passages or Relevant Figures Appear
/TN/	231	US- 2002/0161377 A1	10/31/2002	Rabkin et al.	
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Examiner Cite	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Where Relevant Passages	١.	
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Examiner	/Tuan Nauven/	Date Considered	10/26/2007

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PTO/SB/08A (04-07)

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Complete if Known

10/840,188

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Application Number

Filing Date

Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

May 05, 2004 First Named Inventor Mark Mathis Art Unit 3731 Nguyen, Tuan Van **Examiner Name** Attorney Docket Number 10057-719.201

Sheet 1 of 4 **U. S. PATENT DOCUMENTS** Pages, Columns, Lines, Where **Publication Date** Name of Patentee or Examiner Cite Document Number Relevant Passages or Relevant MM-DD-YYYY Applicant of Cited Document Initials' No. Figures Appear Number-Kind Code^{2 (# known)} US- 2003/0083613 5/1/2003 /TN/ 24 Schaer US-2004/0193260 Alfemess et al. 49 9/30/2004 US- 2004/0220654 11/4/2004 Mathis et al. 50 US- 2004/0220657 11/4/2004 Nieminen et al. 51 53 US- 2004/0249452 12/9/2004 Adams et al. 1/6/2005 US- 2005/0004667 Swinford et al. 55 1/27/2005 US- 2005/0021121 Reuter et al. 57 2/3/2005 us- 2005/0027353 Alferness et al. 59 US- 2005/0033419 2/10/2005 Alferness et al. 60 US- 2005/0038507 2/17/2005 Alferness et al. 61 US- 2005/0065598 3/24/2005 Mathis et al. 62 US- 2005/0096666 5/5/2005 Gordon et al. 63 Gordon et al. ^{US-} 2005/0119673 6/2/2005 US- 2005/0149179 7/7/2005 Mathis et al. US- 2005/0149180 7/7/2005 Mathis et al. 70 US- 2005/0149182 7/7/2005 Alfemess et al. 71 ^{US-} 2005/0187619 8/25/2005 Mathis et al. 73 Pai et al. US-2005/0197692 9/8/2005 74 US- 2005/0197693 9/8/2005 75 Pai et al.

Examiner Cite		Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages	
		Country Code ³ "Number ⁴ "Kind Code ⁵ (# known)	MM-DD-YYYY		Or Relevant Figures Appear	Τ°
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Examiner		Date	
Signature		Considered	

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Substitute for form 1449/PTO Application Number 10/840,188 Filing Date May 05, 2004 INFORMATION DISCLOSURE First Named Inventor Mark Mathis STATEMENT BY APPLICANT Art Unit 3731 (Use as many sheets as necessary) Nguyen, Tuan Van **Examiner Name**

Sheet 2

of 4

Attorney Docket Number

				TOCUMENTS	
Examiner Initials*	Cite No.1	Document Number Number-Kind Code ^{2 (F known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/TN/	76	^{US-} 2005/0197694	9/8/2005	Pai et al.	
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Examiner Initials*	Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages					
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known Application Number 10/840188 Filing Date May 05, 2004 First Named Inventor Mark Mathis Art Unit 3731 **Examiner Name** Nguyen, Tuan Van 10057-719.201 Attorney Docket Number

			U. S. PATEN	T DOCUMENTS	
Examiner Cit Initials* No		Document Number Number-Kind Code ^{2 (# known)}	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Cite No.1	Foreign Patent Document	Publication Date	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages				
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3338465151151111144557175				Application Number	10/840,188		
INF	ORMATION	DIS	CLOSURE	Filing Date	May 05, 2004		
STA	TEMENT E	BY A	PPLICANT	First Named Inventor	Mark Mathis		
	///	-4		Art Unit	3731		
	(Use as many she	eus 85 A	ecessary)	Examiner Name	Nguyen, Tuan Van		
Sheet	4	of	4	Attorney Docket Number	10057-719.201		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
/TN/	178	Mathis, et al; U.S. Pat. App. # 11/279,352, entitled "Mitral Valve Annuloplasty Device with Vena Cava Anchor," filed 04/11/2006 (SLG # 10057-739.201).	
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Examiner		Date	10/26/2007
Signature	/Tuan Nguyen/	Considered	10/26/2007

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Con	aplete if Known
Application Number	10/840,188
Filing Date	May 5, 2004
First Named Inventor	Mark Mathis
Art Unit	1614
Examiner Name	Not yet assigned
Attorney Docket Number	29912-719.201

Sheet	Sheet 1 of 8 Attorney Docket Num		et Number	29912-719.201				
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Examiner	[Date	
Signature		Considered	

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				Complete if Known		
Substitute for form 1449/PTO				Application Number	10/840,188	
INFORMATION DISCLOSURE			LOSURE	Filing Date	May 5, 2004	
	STATEMENT BY APPLICANT			First Named Inventor	Mark Mathis	
(Use as	many sheet	is as ne	cessary)	Art Unit	1614	
	•		Examiner Name	Not yet assigned		
Sheet	2	of	8	Attorney Docket Number	29912-719.201	

U.S. PATENT DOCUMENTS									
Examiner City No.		Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				
/TN/		US-2003/0144697	07/31/2003	Mathis et al.					
		US-2003/0171776	09/11/2003	Adams et al.					
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·	-	US-2004/0138744	07/15/2004	Lashinski et al.					
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1		US-2004/0176840	09/09/2004	Jonathan J. Langberg					
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Signature	Considered	

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INFORMATION DISCLOSURE			LOSURE	Filing Date	May 5, 2004	
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(Use as	many shee	s as ne	cessary)	Art Unit	1614	
				Examiner Name	Not yet assigned	
Sheet	3	of	8	Attorney Docket Number	29912-719.201	

U.S. PATENT DOCUMENTS								
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/TN/		US-2005/0137450	06/23/2005	Aronson et al.				
		US-2005/0137451	06/23/2005	Gordon et al.				
1		US-2005/0137685	06/23/2005	Nieminen et al.				
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Examiner	Date	٦
Signature	Considered	- [

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Under the paperwork Reduction Act of 1995, no persons required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Application Number 10/840,188 Substitute for form 1449/PTO Filing Date May 5, 2004 INFORMATION DISCLOSURE STATEMENT BY APPLICANT First Named Inventor Mark Mathis (Use as many sheets as necessary) Art Unit 1614 **Examiner Name** Not yet assigned Sheet of 8 Attorney Docket Number 29912-719.201

	U.S. PATENT DOCUMENTS									
Examiner Initials*	Cite No.1	Document Number Publication Date Number-Kind Code ² (if known)		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear					
/TN/		US-5,895,391	04/20/1999	Famholtz	r igues rippesi					
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· -		US-5,908,404	06/01/1999	Elliot .						
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Examiner	Date .
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Substitute for form 1449/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT				Application Number	10/840,188	
			LOSURE	Filing Date	May 5, 2004	
				First Named Inventor	Mark Mathis	
(Use a	s many sheet	s aș ne	cessary)	Art Unit	1614	
		Examiner Name	Not yet assigned			
Sheet	5	of	8	Attorney Docket Number	29912-719.201	

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1/		US-6,824,562	11/13/2003	Mathis et al.					
A		US-6,908,478	06/05/2003	Alferness et al.	,				

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Signature	•	Considered	

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INFORMATION DISCLOSURE	Filing Date	May 5, 2004	
STATEMENT BY APPLICANT	First Named Inventor	Mark Mathis	
(Use as many sheets as necessary)	Art Unit	1614	
•	Examiner Name	Not yet assigned	

Attorney Docket Number | 29912-719.201

		FOREIGN	PATENT DO	CUMENTS		.*
Examiner Cite Initials* No.		Foreign Patent Document Country Code' - Number' - Kind Code' (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or	T ⁶
/TN/		EP 0893133	01/27/1999	Medex	Relevant Figures Appear	1
_/ 	EP 1050274-A1		11/08/2000	Medical Industries Corporation		 `
		EP 1095634-A2	05/02/2001	Cordis Corporation		\vdash
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		WO 98/056435-A1	12/17/1998	Micro Therapeutics, Inc.		
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1/		WQ 02/096275-A2	12/05/2002	Viacor, Inc.		Γ
		WO 03/015611-A2	02/27/2003	Viacor, Inc.		Τ

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/TN/		WO 03/049647-A1	06/19/2003	Reitan		√
1		WO 03/059198-A2	07/24/2003	Viacor, Inc.		
		WO 03/063735-A2	08/07/2003	Cardiac Dimensions, Inc.		\vdash
		WO 04/045463-A2	06/03/2004	Advanced Cardiovascular Systems		
V		WO 04/084746	10/07/2004	Reitan		
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/Tuan Nguyen/

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Substitute for	or form 144	19/PTO	•	Application Number	10/840,188
INFORMATION DISCLOSURE				Filing Date	May 5, 2004
STATEMENT BY APPLICANT [First Named Inventor	Mark Mathis		
(Use as many sheets as necessary)			cessary)	Art Unit	1614
		Examiner Name	Not yet assigned		
Sheet	8	of	8	Attorney Docket Number	29912-719.201

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9		Papageorgiou, P., et al., "Coronary Sinus Pacing Prevents Induction of Atrial Fibrillation," Circulation 96: 1893-1898, Sept. 16, 1977.			
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